

PTO/SB/21 (09-04)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number

10/679,186

Filing Date

October 3, 2003

First Named Inventor

Fred Cohen

Group Art Unit

2131

Examiner Name

Unassigned

Total Number of Pages in This Submission

Attorney Docket Number

529-000210US

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
☐ Fee Attached
- ☐ Amendment / Response
☐ After Final
☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Additional Enclosure(s) (please identify below):

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postcard**Authorization to Charge Deposit Account**

Please charge Deposit Account No. 50-0893 for any additional fees associated with this paper or during the pendency of this application, including any extensions of time for consideration of the documents enclosed.

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENTFirm
or
Individual name

Stephen J. LeBlanc, Reg. No. 36,579, Quine Intellectual Property Law Group, P.C.

Signature

Date

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below

Typed or printed name

Amelia Weintraub

Signature

Date

November 5, 2004



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QUINE INTELLECTUAL PROPERTY LAW GROUP, P.C.

By

Amelia Weintraub
Amelia Weintraub

Attorney Docket No. 529-000210US
Client Ref. No. SD-8410.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Fred Cohen, et al.

Application No.: 10/679,186

Filed: October 3, 2003

For: METHOD AND APPARATUS
PROVIDING DECEPTION AND/OR
ALTERED OPERATION IN AN
INFORMATION SYSTEM
OPERATING SYSTEM

Confirmation No. 9775

Examiner: Unassigned

Art Unit: 2131

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR § 1.97 and
§ 1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The references cited on attached form PTO-1449 are being called to the attention of the Examiner. Copies of the references are enclosed. It is respectfully requested that the cited information be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no

representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

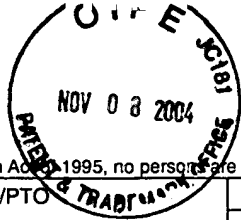
Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action on the merits per 37 CFR 1.97(b)(3). However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 50-0893. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,



Stephen J. LeBlanc
Reg. No. 36,579

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Substitute for form 1449A-B/PTO

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	10/679,186
Filing Date	October 3, 2003
First Named Inventor	Fred Cohen
Group Art Unit	2131
Examiner Name	Unassigned
Attorney Docket Number	529-000210US
Date Submitted	November 5, 2004

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appeal
		Number	Kind Code (if known)			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (if known)				
	01	WO	01/37510	A2	Fred Cohen	05-25-2001		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
	02	COHEN (1985) "Algorithmic Authentication of Identification." Information Age, V7, #1 (Jan. 1985), pp. 35-41.	
	03	COHEN (1992) "Operating System Protection through Program Evolution, Computers and Security". World Wide Web at http://www.all.net/books/IP/evolve.html . Pages 1-22 of 22.	
	04	COHEN (1995) "A Note on Detecting Tampering with Audit Trails, IFIP-TC11 - Computers and Security". World Wide Web at http://www.all.net/books/audit/audmod.html . Pages 1-10 of 10.	
	05	COHEN (1998) "A Note on the Role of Deception in Information Protection". World Wide Web at http://www.all.net/journal/deception/deception.html . Pages 1-23 of 23.	
	06	COHEN (2000) "Models of Practical Defenses Against Computer Viruses". World Wide Web at http://all.net/books/inteq/vmodels.html . Pages 1-12 of 12.	
	07	COHEN et al. (1998) "A Preliminary Classification Scheme for Information System Threats, Attacks, and Defenses; A Cause and Effect Model; and Some Analysis Based on That Model." Located on the World Wide Web at http://all.net/journal/ntb/cause-and-effect.html . Sandia National Laboratories, September 1998. 1-74 of 74.	
	08	COHEN et al. (2001) "Red Teaming Experiments with Deception Technologies". World Wide Web at http://www.all.net/journal/deception/experiments/experiments.html . Pages 1-30 of 30.	
	09	JAVITZ et al. (1994) "The NIDES Statistical Component Description and Justification," Annual Report, A010, March 1994.	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Substitute for form 1449A-B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>	Complete if Known	
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	Group Art Unit	2131
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	10	MICHAEL (2002) "On the Response Policy of Software Decoys: Conducting Computer Based Deception in the Cyber Battlespace," Proceedings of the 26 th Annual Computer Software and Applications Conference, Oxford, England, August 2002.	
	11	MICHAEL et al. (2001) "Intelligent Software Decoys," Proceedings of the Monterey Workshop on Engineering Automation for Software-Intensive Integration, Monterey, CA, June 2001. Pages 178-187.	
	12	MICHAEL et al. (2002) "Software Decoys: Intrusion, Detection and Countermeasures," Proceedings of the 2002 IEEE Workshop on Information Assurance, West Point, NY, June 2002. Pages 130-138.	
	13	MICHAEL et al. (2003) "An Experiment in Software Decoy Design," Proceedings of the IFIP 18 th International Information Security Conference, Athens, Greece, May 2003. Pages 1-12 of 12.	
	14	POMERANTZ (1999) "System Calls" The Linux Kernel Module Programming Guide. World Wide Web at http://www.tldp.org/LDP/lkmpg/node20.html . Pages 1-5 of 5.	
	15	SPITZNER (2003) "Honeypots: Definitions and Value of Honeypots," World Wide Web at http://www.trackinghackers.com/papers/honeypots.html . Pages 1-5 of 5.	

Examiner Signature		Date Considered	
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